

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Docket Number</b> 04-6173		<b>Application Number</b> 10/767,588	
				<b>Applicants</b> Thomas J. DALEY, et al.			
				<b>Filing Date</b> January 29, 2004		<b>Group Art Unit</b> 3695	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
		60/706,109	8/5/2005	Noviello			
		2007/0156754	7/5/2007	Busch et al.			
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initials	Cite No.	Foreign Document Number	Date	Country Code	Name of Patentee or Applicant of Cited Document	Sub-Class	Translation
		WO 2001/093169 A1	12/6/2001	PCT	Waelbroeck et al.		
<b>NON PATENT LITERATURE DOCUMENTS</b>							
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published					
		Australian Examiner's Report for Application No. 2005208980, dated November 17, 2009 (2 pages).					
		Australian Examiner's Report for Application No. 2005208978, dated November 26, 2009 (1 page).					
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		USPTO Office Action for Application No. 10/767,649, August 27, 2009 (20 pages).					
		USPTO Examiner Interview Summary for Application No. 10/767,699, December 23, 2009 (3 pages).					
		USPTO Examiner's Answer to Appeal Brief for Application No. 10/767,699, December 24, 2009 (16 pages).					
		USPTO Examiner's Answer to Appeal Brief for Application No. 10/766,965, January 20, 2010 (19 pages).					
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		George Simon & Kathryn Trikla, "The Regulation of Specialists and Implications for the Future," Business Lawyer, Nov. 2005, pp. 217-387.					
		The 'Hybrid Approach': A review of NYSE's Market Structure Proposal, Mondaq Business Briefing, NA, Dec 9, 2004.					
Examiner Signature					Date Considered		